

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Narendra K. Gupta et al.
Docket No.: 2002-0348
Application No.:
Filing Date: January 9, 2004
Examiner Name:
Group Art Unit:
Title: Method For Building A Natural Language Understanding Model For A
Spoken Dialog System

INFORMATION DISCLOSURE STATEMENT

MAIL STOP: Patent Application
THE COMMISSIONER FOR PATENTS
PATENT & TRADEMARK OFFICE
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SIR:

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO-1449. Unless otherwise indicated, one copy of each reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56(b).

Inclusion of any reference below is not intended to be acceptance that the reference is prior art. Several of the publications listed were printed in December 2003 but are their publication date is currently unknown.

- ☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of this non-CPA Application, OR (b) before the mailing date of a first Office Action on the merits in the present application. No certification or fee is required.
- ☐ 2. The references were cited by or submitted to the Office in parent Application No. _____, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these references are not attached. 37 C.F.R. § 1.98(d).

Respectfully,

Date: Jan. 9, 2004
AT&T CORP.
P.O. Box 4110
Middletown, New Jersey 07748-4110

By: Thomas M. Isaacson
Thomas M. Isaacson
Attorney for Applicants
Reg. No.: 44166
T: 410-414-3056
F: 410-510-1433

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete if Known

Sheet	1	of	2
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Attorney Docket Number 2002-0348

[illegible]

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ²
		Office ³	Number (if known)	Kind Code ²				
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¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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		Application Number		
		Filing Date	January 9, 2004	
		First Named Inventor	Narendra K. Gupta et al.	
		Group Art Unit		
Examiner Name				
Sheet	2	2	Attorney Docket Number	2002-0348

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	1	M. El-Beze, C.de Loupy and P.-F.Marteau, "Using Semantic Classification Trees For WSD", Laboratoire d'Informatique d'Avignon (LIA), BP 1228, F-84911 Avignon Cedex 9 (France), Bertin Technologies, ZI des Gatines-B.P.3, F-78373 Plaisir cedex	<input type="checkbox"/>
	2	Stephen Patel, Joseph Smarr, 'Automatic Classification of Previously Unseen Proper Noun Phrases into Semantic Categories Using an N-Gram Letter Model', CS 224N Final Project, Stanford University, Spring 2001	<input type="checkbox"/>
	3	Jian-Yun Nie, Mingwen Wang, "A Latent Semantic Structure Model for Text Classification", DIRO, Université de Montreal, Quebec, H3C3J7 Canada, School of Computer Science and Technology, Jiangxi Normal University, 330027, Nanchang, Jiangxi, China	<input type="checkbox"/>
	4	Egbert Ammicht, Allen Gorin, Tirso Alonso, "Knowledge Collection for Natural Language Spoken Dialog Systems", Eurospeech, 1999.	<input type="checkbox"/>
	5	Paul C. Constantinides, Alexander Rudnicky, "Dialog Analysis In the Carnegie Mellon Communicator", Eurospeech 1999.	<input type="checkbox"/>
	6	Jongho Shin, Shrikanth Narayanan, Laurie Gerber, Abe Kazemzadeh, Dani Byrd, "Analysis of User Behavior Under Error Conditions in Spoken Dialogs", printed December 2003.	<input type="checkbox"/>

Examiner Signature		Date Considered	
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*EXAMINER: Initial if referenced considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number ² Applicant is to place a check mark here if English language translation is attached.

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